



As of Date: 1 December 2005

**2006 Certification Authorization Workstation (CAW)
AUDIT/INSPECTION CHECKLIST**

"One Vision, One Mission - The Warfighter"
(For CSLA Internal Use Only)

YES	NO	N/A	DISCREPANCIES/COMMENTS
			C-1 – Does the Facility physical security standards meet or exceed the classification level of the CAW? Army CPS, v1.6, para 5.1.1; AR 25-2, para 4-5 and para 4-11; AR 380-5, paragraph 7-13b; AR 380-40, Appendix D.
			C-2 – Are Access Controls established (Primary/Alternate/Off-site)? AR 25-2, para 4-5b; Army CPS, v1.6, para 5.1.1 and para 5.1.2.
			C-3 – Is the CAW a dedicated <u>stand-alone</u> computer workstation? Army CPS, v1.6, para 5.1 & para 6.7 (Verify Serial Numbers) <input type="checkbox"/> CPU Pentium Processor: _____ <input type="checkbox"/> Monitor: _____ <input type="checkbox"/> Laser Printer: _____ <input type="checkbox"/> Label Printer: _____ <input type="checkbox"/> Card Reader: _____
			C-4 – Did the command conduct a risk analysis on the facilities (Primary/Alternate/Off-site)? AR 25-2, para 7-1; Army CAW, Disaster Recovery Plan, para 3.2
			C-5 – Are the CAW operators appointed in writing by the command? Army CPS, v1.6, para 5.3.1
			C-6 – Are security checks being conducted and recorded? Army CPS, v1.6, para 5.1.2; AR 380-5, para 6-10 and para 6-11

FOR OFFICIAL USE ONLY
(WHEN FILLED IN)

			C-7 – Are procedures in place to prevent users from departing the organization with FORTEZZA cards? Army CPS, v1.6, para 4.4.1.3
			C-8 – Are the CAW audit records and security audit data being reviewed on a monthly basis, or more frequently by the ISSO? How? Army CPS, v1.6, para 4.5.2, para 4.5.4, & para 4.5.8
			C-9 – Are system back-ups being conducted by the SA? Army CPS, v1.6, para 4.6.3
			C-10 – Does the ISSO perform monthly purge of audit and event logs? Army CPS, v1.6, para 4.6.3
			C-11 – Are proper system shutdown at the end of the workday being performed by the SA? Army CPS, v1.6, para 5.2.1
			C-12 – Are document archived data records and media maintained at the off-site, IAW Army CPS, v1.6, para 4.6.1? AR 25-2, para 4-5h and para 4-5i; Army CPS, para 4.5.4, 4.6.3 & 5.1.6
			C-13 – Are files properly managed IAW the Army Records Information Management System (ARIMS)? AR 380-5, paragraph 4-15 and paragraph 4-24
			C-14 – X.509 Certificate Request Form properly filled out, with signatures? (Off-site) Army CPS, v1.6, para 4.1; End User Package, Revision XC

			C-15 – Is the user signing and returning the User Advisory Statement (UAS) within 60-days of delivery to the CA? (Off-site) Army CPS, v1.6, para 4.3 & para 6.4.3.
			C-16 – Removable storage media (marks/safeguards) located at the off-site. AR 25-2, para 4-5i, 4-16 & 4-17; AR 380-5, para 4-32 & para 4-34; Army CPS, v1.6, para 4.6.3 & para 4.6.4. <input type="checkbox"/> Removable Hard Drive <input type="checkbox"/> 4mm backup tape
			C-17 – Verify/validate certificate of completion of formal CAW training? Army CPS, v1.6, para 5.3.3 & 5.3.4
			C-18 – Are CRLs posted prior to the 28-days expiration? Army CPS, v1.6, para 4.4.3
			C-19 – Does the CA log onto the CAW once per work-day to verify if new ICRL is posted? Army CPS, v1.6, para 5.2.1
			C-20 – Is the user's certificate Information on the X.509 Certificate Request Form identical to the information displayed in the CAW database? Army CPS, v1.6, para 4.1; End User Package, Revision XC
			C-21 - Verify safeguards and separation of FORTEZZA cards, PINs, and password. Army CPS, v1.6, para 5.1.2, para 6.2.2 & para 6.2.8; AR 25-2, paragraph 4-12
			C-22 – Does the site has a site-specific disaster recovery reaction plan and tested at least annually? Army CAW, Disaster Recovery Plan, para 3.3, 3.8, & para 4.

			C-23 – Since the FFC CA FORTEZZA card (KOV-13) is accountable within the CMCS channels, is the CA registered as a hand-receipt holder at their local COMSEC account? AR 380-40, para 2-12a, b, and d.
			C-24 – Are certificates and PIN Letters distribution procedures established? Army CPS, v1.6, para 4.2 through para 4.2.2
			C-25 – Does the CA maintain accountability of all programmed and unprogrammed FORTEZZA cards? Army CPS, v1.6, para 5.2.1.
			C-26 – Are there procedures regarding revocation of certificates? Army CPS, v1.6, para 4.4.1 through para 4.4.1.4
			C-27 – Are there procedures supporting organizational certificates (First Born)? Army CPS, v1.6, para 3.1.8 & para 4.4.1.3; NSTISSI 3028, Section VI, para 18.
			C-28 – The CA is required once every three years to coordinate with its PCA to change the PIN. When was the last PIN change? IAW Army Approving Authority email, dated 14 Nov 05; Army CPS, v1.6, para 6.4.3
			C-29 – Reference Library: Minimum Required regulations: (Army CPS, DoD CPS, NSTISSI 3028, Disaster Recovery Plan, AR 190-51, AR 25-2, AR 380-5, AR 380-40, DA Pam 190-51, AR 25-400-2, End User Package XC.
<i>Sensitive Information (Computer Security Act of 1987), AR 380-5, Section V, paragraph 5-21 and paragraph 5-22. For Official Use Only, AR 380-5, paragraph 5-4 and paragraph 5-5; Sensitive But Unclassified, AR 380-5, paragraph 5-9 and paragraph 5-10.</i>			